

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Steven M. Bloom, Michael S.  
Spector and John L. Jacobs                          Art Unit : 3693  
Serial No. : 10/001,900                              Examiner : Sara M. Chandler  
Filed : November 14, 2001                              Conf. No. : 8995  
Title : BALANCING ARBITRAGABLE TRACKING SECURITIES

**MAIL STOP RCE**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

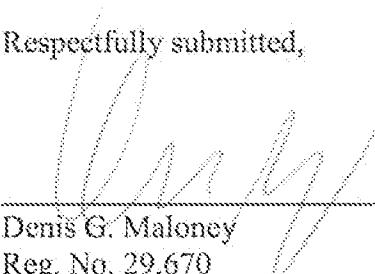
INFORMATION DISCLOSURE STATEMENT

Applicants request consideration of the references listed on the attached PTO-1449 form. Under 37 C.F.R. § 1.98 (a)(2)(ii), only copies of foreign patent documents and/or non-patent literature are enclosed. Copies of any listed U.S. patents or U.S. patent application publications can be provided upon request.

This statement is being made with the filing of a Request for Continued Examination. No fee is required.

Respectfully submitted,

Date: 10/31/07

  
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I hereby certify that this paper was filed with the Patent and Trademark Office using the EFS-WEB system on this date: October 31, 2007